

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re: Application

Inventor: Shek Fai Lau et al.

Appl. No.: 09/924,624

Confirm. No.: 5227

Filed: August 8, 2001

Title: Electrode Self-Cleaning Mechanism for Electro-Kinetic Air Transporter-Conditioner Devices

PATENT APPLICATION

Art Unit: 1711

Examiner: Thao T. Tran

**Customer No. 23910**

CERTIFICATE OF MAILING UNDER 37 CFR § 1.8

I hereby certify that this correspondence is being deposited in the United States Postal Service with sufficient postage as first class mail in an envelope addressed to Mail Stop Issue Fee, Commissioner for Patents, Alexandria, VA 22313-1450, on 10/10/03.

Jeffrey R. Kurin (Attorney Signature)  
Jeffrey R. Kurin, Reg. No. 41,132  
Signature Date: 10/10/03

**Re-Submission of Previously Submitted IDS**

Mail Stop Issue Fee  
Commissioner for Patents  
PO Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

During prosecution of the above captioned case, Applicants had submitted four separate Information Disclosure Statements (IDSs). A first IDS was filed on January 15, 2002; a second IDS was filed on October 8, 2002; a third IDS was filed on December 27, 2002; and a fourth IDS was filed on June 25, 2003. Applicants have received from the USPTO initialed PTO-1449 forms indicating consideration of three out of the four IDSs. However, Applicants have not yet received initialed PTO-1449 forms indicating the Examiner's consideration of the references in the second IDS (filed on October 8, 2002). Accordingly, Applicants have enclosed herewith a copy of the IDS previously filed on October 8, 2002, along with a copy of the return date stamped postcard indicating receipt of the IDS and its accompanying references, by the USPTO on October 15, 2002. Applicants request that the Examiner provide Applicants with initialed form PTO-1449s, indicating that the references listed therein have been considered.

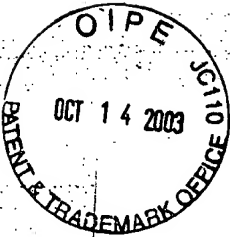
Respectfully submitted,

Date 10/10/03

By Jeffrey R. Kurin  
Jeffrey R. Kurin  
Reg. No. 41,132

Fliesler Dubb Meyer & Lovejoy LLP  
Four Embarcadero Center, Fourth Floor  
San Francisco, California 94111-4156  
415/362-3800 Telephone  
415/362-2928 Fax

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The United States Patent and Trademark Office date stamp  
sets forth the date of receipt of:

Inventor: Shek Fai Lau et al.  
Application No. 09/924,624  
Filing Date: August 8, 2001  
Title: ELECTRODE SELF-CLEANING MECHANISM FOR ELECTRO-  
KINETIC AIR TRANSPORTER-CONDITIONER DEVICES

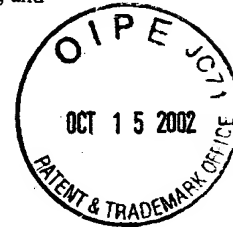
**ENCLOSED:**

1. Supplemental Information Disclosure Statement, PTO 1449  
(5 sheets), along with cited references;
2. Copy of the PCT Search Report dated August 6, 2001; and
3. Certificate of Mailing.

Atty Docket No.: SHPR-01041US4 SRM  
Attorney: SRM/js  
Mailing Date: October 8, 2002

Date Due: n/a

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THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application

Inventor(s): Shek Fai Lau et al.  
SC/Serial No.: 09/924,624  
Confirm. No.: 5227  
Filed: August 8, 2001  
Title: ELECTRODE SELF-CLEANING MECHANISM FOR  
ELECTRO-KINETIC AIR TRANSPORTER-  
CONDITIONER DEVICES

PATENT APPLICATION

Art Unit: 1741  
Examiner: Thao Tran

Customer No. 23910

**CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8**

I hereby certify that this correspondence is being deposited in the United States Postal Service with sufficient postage as first class mail in an envelope addressed to Commissioner for Patents, c/o Examiner Thao Tran, Crystal Plaza 3, 8<sup>th</sup> Floor Receptionist, Washington, DC 20231 on October 8, 2002.

Sheldon R. Meyer, Reg. No. 27,660  
Signature Date: October 8, 2002

(Attorney Signature)

**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT  
UNDER 37 C.F.R. §1.56**

Commissioner for Patents  
c/o Examiner Thao Tran  
Washington, DC 20231

Sir:

It is requested that the information identified in this statement be considered by the Examiner and made of record in the above-identified application. This statement is not intended to represent that a search has been made or that the information cited in the statement is, or is considered to be, material to patentability as defined in 37 C.F.R. §1.56. If this is a continuation, divisional or continuation-in-part application, it is understood that the Examiner will consider all information which was considered by the Office in a parent application. MPEP §609. Such information therefore is not listed herein unless it is desired that the information be printed on a patent issuing from the subject application.

***Enclosed with this statement are the following:***

- ✓ Form PTO-1449. The Examiner is requested to initial the form and return it to the undersigned in accordance with M.P.E.P. §609.
- ✓ A copy of all references are included for the Electro-Kinetic Air Transporter Conditioner applications, including continuations and continuations-in-part. Copies are not submitted of documents previously submitted by the applicant in a parent application from which benefit under 35 U.S.C. §120 is claimed, 37 C.F.R. §1.98(d)(1), with an information disclosure statement submitted in the parent application which complies with the Sept. 8, 2000 or subsequent revision of 37 C.F.R. §1.98(a-c). If any of the cited/submitted documents is in a foreign language, a concise explanation of relevance is

provided pursuant to 37 C.F.R. §1.98(a)(3)(i). For foreign language documents cited in a search report by a foreign patent office, the requirement for a concise explanation of relevance is satisfied by the submission herewith of an English language version of the search report. MPEP §609A(3). If a written English-language translation of a non-English language document, or portion thereof, is within the possession, custody or control of, or is readily available to any individual designated in §1.56(c), a copy of the translation accompanies this statement, 37 C.F.R. §1.98(a)(3)(ii), and satisfies the requirement for a concise explanation of relevance, MPEP §609A(3).

✓ A copy of the PCT Search Report dated August 6, 2001 as well as cited references is enclosed.

— **PTA Statement under 37 C.F.R. §1.704(d).** Each item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart application and this communication was not received by any individual designated in §1.56(c) more than thirty days prior to the filing of the information disclosure statement.

***This statement should be considered because:***

✓ 37 C.F.R. §1.97(b). This statement qualifies under 37 C.F.R. §1.97, subsection (b) because:

- (1) It is being filed within three months of the filing date of an application other than a continued prosecution application under § 1.53(d);  
-- OR --
- (2) It is being filed within 3 months of entry of a national stage;  
-- OR --
- (3) It is being filed before the mailing date of the first Office Action on the merits,  
-- OR --
- (4) It is being filed before the mailing date of the first Office Action after the filing of a Request for Continued Examination under 37 C.F.R. §1.114.

— 37 C.F.R. §1.97(c). Although it may not qualify under subsection (b), this statement qualifies under 37 C.F.R. §1.97, subsection (c) because:

- (1) It is being filed before the mailing date of a FINAL office action, a Notice of Allowance, or an action that otherwise closes prosecution in the subject application, whichever occurs first.

-- AND (check at least one of the following) --

- (1) It is accompanied by a STATEMENT as set forth in 37 C.F.R. §1.97(e).  
-- OR --
- (2) It is accompanied by the \$180 fee set forth in 37 C.F.R. §1.17(p).

— 37 C.F.R. §1.97(d). Although it may not qualify under subsection (b) or (c), this statement qualifies under 37 C.F.R. §1.97, subsection (d) because:

- (1) It is being filed on or before payment of the issue fee;  
-- AND --

**COPY**

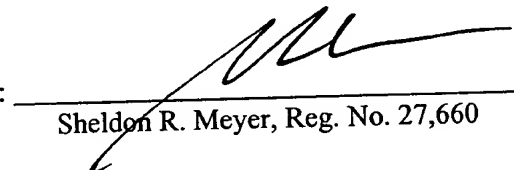
- (2) It is accompanied by a STATEMENT as set forth in 37 C.F.R. §1.97(e);  
-- AND --  
(3) It is accompanied by the \$180 fee set forth in 37 C.F.R. §1.17(p).

✓ **Fee Authorization.** The Commissioner is hereby authorized to charge underpayment of any additional fees or credit any overpayment associated with this communication to Deposit Account No. 06-1325. A duplicate copy of this authorization is enclosed.

Respectfully submitted,

FLIESLER DUBB MEYER & LOVEJOY LLP

Date: October 8, 2002

By:   
Sheldon R. Meyer, Reg. No. 27,660

FLIESLER DUBB MEYER & LOVEJOY LLP  
Four Embarcadero Center, Fourth Floor  
San Francisco, California 94111-4156  
Telephone (415) 362-3800

Form PTO-1449 (Substitute)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		Attorney Docket Number SHPR-01041US4		Serial/Patent Number 09/924,624	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <i>(Use several sheets if necessary)</i>				Applicant/Patent Owner Shek Fai Lau et al.			
				Filing/Issue Date August 8, 2001		Group Art Unit 1741	
<b>U.S. PATENTS</b>							
Examiner Initial		Patent Number	Issue Date	First Named Inventor	Class	Subclass	Filing Date
	1.	2,949,550	Aug. 16, 1960	Brown	310	5	Jul. 3, 1957
	2.	4,052,177	Oct. 4, 1977	Kide	55	139	Mar. 1, 1976
	3.	4,138,233	Feb. 6, 1979	Masuda	55	139	Jun. 16, 1977
	4.	4,209,306	Jun. 24, 1980	Feldman et al.	55	2	Nov. 13, 1978
	5.	4,231,766	Nov. 4, 1980	Spurgin	55	138	Dec. 11, 1978
	6.	4,232,355	Nov. 4, 1980	Finger et al.	361	235	Jan. 8, 1979
	7.	4,244,712	Jan. 13, 1981	Tongret	55	124	Mar. 5, 1979
	8.	4,259,452	Mar. 31, 1981	Yukuta et al.	521	52	May 15, 1979
	9.	4,266,948	May 12, 1981	Teague et al.	55	126	Jan. 4, 1980
	10.	4,282,014	Aug. 4, 1981	Winkler et al.	55	105	May 21, 1979
	11.	4,342,571	Aug. 3, 1982	Hayashi	55	137	Jun. 14, 1978
	12.	4,386,395	May 31, 1983	Francis, Jr.	363	27	Dec. 19, 1980
	13.	4,413,225	Nov. 1, 1983	Donig et al.	323	246	Jul. 17, 1981
	14.	4,445,911	May 1, 1984	Lind	55	2	Dec. 15, 1981
	15.	4,502,002	Feb. 26, 1985	Ando	323	237	Sep. 2, 1982
	16.	4,536,698	Aug. 20, 1985	Shevalenko et al.	323	237	Aug. 25, 1983
	17.	4,587,475	May 6, 1986	Finney, Jr., et al.	323	241	Jul. 25, 1983
	18.	4,600,411	Jul. 15, 1986	Santamaria	55	139	Apr. 6, 1984
	19.	4,601,733	Jul. 22, 1986	Ordines et al.	55	139	Sep. 27, 1984
	20.	4,626,261	Dec. 2, 1986	Jorgensen	55	2	Dec. 12, 1985
	21.	4,659,342	Apr. 21, 1987	Lind	55	2	Apr. 30, 1984
	22.	4,674,003	Jun. 16, 1987	Zylka	361	235	Apr. 3, 1985

U.S. PATENTS							
Examiner Initial		Patent Number	Issue Date	First Named Inventor	Class	Subclass	Filing Date
	23.	4,694,376	Sep. 15, 1987	Gessler	361	235	Sep. 26, 1985
	24.	4,713,093	Dec. 15, 1987	Hansson	55	139	Jul. 8, 1986
	25.	4,779,182	Oct. 18, 1988	Mickal et al.	363	37	Jun. 24, 1986
	26.	4,808,200	Feb. 28, 1989	Dallhammer et al.	55	105	Nov. 12, 1987
	27.	4,940,470	Jul. 10, 1990	Jaisinghani et al.	55	2	Mar. 23, 1988
	28.	5,010,869	Apr. 30, 1991	Lee	123	539	Aug. 11, 1989
	29.	5,196,171	Mar. 23, 1993	Peltier	422	121	Mar. 11, 1991
	30.	5,217,504	Jun. 8, 1993	Johansson	55	2	Mar. 20, 1990
	31.	5,302,190	Apr. 12, 1994	Williams	95	57	Jun. 8, 1992
	32.	5,315,838	May 31, 1994	Thompson	62	129	Aug. 16, 1993
	33.	5,316,741	May 31, 1994	Sewell et al.	422	186.21	May 30, 1991
	34.	5,378,978	Jan. 3, 1995	Gallo et al.	323	241	Apr. 2, 1993
	35.	5,578,112	Nov. 26, 1996	Krause	96	24	Jun. 1, 1995
	36.	5,667,564	Sep. 16, 1997	Weinberg	96	58	Aug. 14, 1996
	37.	5,814,135	Sep. 29, 1998	Weinberg	96	58	Sep. 15, 1997
	38.	5,879,435	Mar. 9, 1999	Satyapal et al.	96	16	Jan. 6, 1997
	39.	5,893,977	Apr. 13, 1999	Pucci	210	739	May 12, 1997
	40.	5,972,076	Oct. 26, 1999	Nichols et al.	95	81	Sep. 28, 1998
	41.	6,019,815	Feb. 1, 2000	Satyapal et al.	95	74	Sep. 11, 1998
	42.	6,042,637	Mar. 28, 2000	Weinberg	96	58	Sep. 28, 1998
	43.	6,063,168	May 16, 2000	Nichols et al.	96	80	Aug. 11, 1997
	44.	6,086,657	Jul. 11, 2000	Freije	95	2	Feb. 16, 1999
	45.	6,149,717	Nov. 21, 2000	Satyapal et al.	96	16	Dec. 22, 1998
	46.	6,149,815	Nov. 21, 2000	Sauter	210	635	Nov. 23, 1999
	47.	6,163,098	Dec. 19, 2000	Taylor et al.	310	308	Jan. 14, 1999
	48.	6,182,461 B1	Feb. 6, 2001	Washburn et al.	62	264	Jul. 16, 1999
	49.	6,193,852 B1	Feb. 27, 2001	Caracciolo et al.	204	176	May 28, 1997
	50.	6,212,883 B1	Apr. 10, 2001	Kang	60	275	Mar. 3, 2000

U.S. PATENTS							
Examiner Initial		Patent Number	Issue Date	First Named Inventor	Class	Subclass	Filing Date
	51.	6,252,012 B1	Jun. 26, 2001	Egitto et al.	525	431	Aug. 30, 1999
	52.	6,270,733 B1	Aug. 7, 2001	Rodden	422	186.07	Feb. 17, 2000
	53.	6,277,248 B1	Aug. 21, 2001	Ishioka et al.	204	176	Jan. 5, 2000
	54.	D449,097 S	Oct. 9, 2001	Smith et al.	D23	364	May 1, 2000
	55.	6,302,944 B1	Oct. 16, 2001	Hoenig	96	16	Apr. 18, 2000
	56.	D449,679 S	Oct. 23, 2001	Smith et al.	D23	365	May 1, 2000
	57.	6,309,514 B1	Oct. 30, 2001	Conrad et al.	204	164	Nov. 7, 1994
	58.	6,312,507 B1	Nov. 6, 2001	Taylor et al.	96	19	Feb. 12, 1999
	59.	6,315,821 B1	Nov. 13, 2001	Pillion et al.	96	416	Jan. 11, 2001
	60.	6,328,791 B1	Dec. 11, 2001	Pillion et al.	96	418	May 3, 2000
	61.	6,350,417 B1	Feb. 26, 2002	Lau et al.	422	186.04	May 4, 2000
	62.	6,372,097 B1	Apr. 16, 2002	Chen	204	176	Apr. 14, 2000
	63.	6,379,427 B1	Apr. 30, 2002	Siess	95	57	Dec. 6, 1999
	64.	6,391,259 B1	May 21, 2002	Malkin et al.	422	28	Jun. 26, 1997
PENDING U.S. PATENT APPLICATIONS							
Examiner Initial		Application Number	Filing Date	First Named Inventor	Petition to Expunge? Yes   No		
	65.	09/669,253	Sep. 25, 2000	Taylor et al.		X	
	66.	09/669,268	Sep. 25, 2000	Taylor et al.		X	
	67.	09/730,499	Dec. 5, 2000	Taylor et al.		X	
	68.	09/742,814	Dec. 19, 2000	Taylor et al.		X	
	69.	09/774,198	Jan. 29, 2001	Taylor		X	
	70.	60/306,479	July 18, 2001	Taylor		X	



PENDING U.S. PATENT APPLICATIONS						
Examiner Initial		Application Number	Filing Date	First Named Inventor	Petition to Expunge? Yes   No	
	71.	09/924,600	Aug. 8, 2001	Taylor et al.		X
	72.	60/341,179	Dec. 13, 2001	Taylor et al.		X
	73.	60/340,702	Dec. 13, 2001	Taylor et al.		X
	74.	60/341,377	Dec. 13, 2001	Taylor et al.		X
	75.	60/341,518	Dec. 13, 2001	Taylor		X
	76.	60/340,288	Dec. 13, 2001	Taylor		X
	77.	60/341,176	Dec. 13, 2001	Taylor		X
	78.	60/340,462	Dec. 13, 2001	Taylor		X
	79.	60/341,090	Dec. 13, 2001	Taylor		X
	80.	60/341,433	Dec. 13, 2001	Taylor		X
	81.	60/341,592	Dec. 13, 2001	Taylor		X
	82.	60/341,320	Dec. 13, 2001	Taylor		X
	83.	10/023,197	Dec. 13, 2001	Taylor et al.		X
	84.	10/023,460	Dec. 13, 2001	Taylor et al.		X
	85.	10/074,082	Feb. 12, 2002	Taylor et al.		X
	86.	10/074,209	Feb. 12, 2002	Taylor et al.		X
	87.	10/074,207	Feb. 12, 2002	Taylor et al.		X
	88.	10/074,208	Feb. 12, 2002	Taylor		X
	89.	10/074,339	Feb. 12, 2002	Taylor et al.		X
	90.	10/074,827	Feb. 12, 2002	McKinney, Jr., et al.		X
	91.	10/074,549	Feb. 12, 2002	Sinaiko et al.		X
	92.	10/074,103	Feb. 12, 2002	Sinaiko et al.		X
	93.	10/074,096	Feb. 12, 2002	Taylor et al.		X
	94.	10/074,347	Feb. 12, 2002	Taylor et al.		X
	95.	10/074,379	Feb. 12, 2002	Taylor et al.		X
	96.	10/156,158	May 28, 2002	Taylor et al.		X

PENDING U.S. PATENT APPLICATIONS						
Examiner Initial		Application Number	Filing Date	First Named Inventor	Petition to Expunge? Yes   No	
	97.	60/391,070	Jun. 6, 2002	Reeves		X
	98.	10/188,668	Jul. 2, 2002	Taylor et al.		X

FOREIGN PATENT DOCUMENTS								
Examiner Initial		Document Number	Publication Date	Country	Class	Subclass	Trans- lation Yes   No	
	99.	WO 01/47803 A1	Jul. 5, 2001	PCT			✓	
	100.	WO 01/48781 A1	Jul. 5, 2001	PCT			✓	
	101.	FR 2690509	Oct. 29, 1993	France			✓	
	102.	JP 10137007	May 26, 1998	Japan			✓	
	103.	JP 11104223	Apr. 20, 1999	Japan			✓	
	104.	JP 2000236914	Sept. 5, 2000	Japan			✓	

OTHER DOCUMENTS (Include author (if any), title, publisher and place of publication, date and pertinent pages)	
105.	LENTEK Sila™ Plug-In Air Purifier/Deodorizer product box copyrighted 1999.
Examiner	Date Considered
<p><b>*EXAMINER:</b> Initial if citation considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.</p>	
<p>*1 = Copy not submitted because it was submitted in prior application SN <u>      </u> / <u>      </u>, filed <u>      </u>, 20<u>      </u>, relied on under 35 USC §120.</p>	
<p>*2 = Copy not submitted because it was submitted in prior application SN <u>      </u> / <u>      </u>, filed <u>      </u>, 20<u>      </u>, relied on under 35 USC §120.</p>	